

FORM PTO-11390
(REV. 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

ATTORNEY'S DOCKET NUMBER

5204-22

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/914306

INTERNATIONAL APPLICATION NO.

PCT/KR00/01531

INTERNATIONAL FILING DATE

23 Dec. 00 (23.12.00)

PRIORITY DATE CLAIMED

24 Dec. 99 (24.12.99)

TITLE OF INVENTION

PLASMA PROCESSING APPARATUS AND METHOD FOR FORMING THIN FILMS USING THE SAME

APPLICANT(S) FOR DO/EO/US

Young Suk LEE; Young Mook KANG; Sang Do LEE

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.
14. ☐ A SECOND or SUBSEQUENT preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☐ Other items or information:

U.S. APPLICATION NO. 09/914306		INTERNATIONAL APPLICATION NO. PCT?KR00/01531		ATTORNEY'S DOCKET NUMBER 5204-22	
21. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO. \$1000.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$860.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$710.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$690.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00 ENTER APPROPRIATE BASIC FEE AMOUNT =				CALCULATIONS PTO USE ONLY	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	
Total claims	6 - 20 =	0	x \$18.00	\$ 0	
Independent claims	4 - 3 =	1	x \$80.00	\$ 80	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)				+ \$270.00	\$
TOTAL OF ABOVE CALCULATIONS =				\$ 1080	
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				+	\$ - 540
SUBTOTAL =				\$ 540	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
TOTAL NATIONAL FEE =				\$	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$ 40	
TOTAL FEES ENCLOSED =				\$ 580	
				Amount to be refunded:	\$
				charged:	\$

a. ☐ A check in the amount of \$ _____ to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.


c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 13-1703. A duplicate copy of this sheet is enclosed.

d. ☒ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038. **Form PTO-2038 Enclosed. Filing Fee for \$540 and Assignment recordal fee \$40 are charged to VISA**

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

JAMES G. STEWART
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PORTLAND, OR 97205
Phone: (503) 222 3613
Fax: (503) 274-4622

James G. Stewart
SIGNATURE 
NAME _____
32,496
REGISTRATION NUMBER

09/914306
Attorney's Docket No. 5204-22

EXPRESS MAIL

MAILING LABEL NO. 253 052 172 US
DATE OF DEPOSIT: AUGUST 23, 2001

I HEREBY CERTIFY THAT THIS PAPER AND ENCLOSURES AND/OR FEE ARE BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE "EXPRESS MAIL POST OFFICE TO ADDRESSEE" SERVICE UNDER 37 CFR 1.10 ON THE DATE INDICATED ABOVE AND IS ADDRESSED TO: BOX PCT, ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON D.C. 20231.

ADRIENNE CHOCHOLAK
(SENDER'S PRINTED NAME)


(SIGNATURE)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
(RO/US)

In Re: International Application
No. PCT/KR00/01531

Earliest Priority Date: December 24, 1999

International Filing Date: December 23, 2000

Applicant: Young Suk LEE; Young Mook KANG; Sang Do LEE

Title of Invention: PLASMA PROCESSING APPARATUS AND METHOD FOR
FORMING THIN FILMS USING THE SAME

Agent's File Ref: Docket No. 5204-22

Box PCT
Assistant Commissioner for Patents
Washington, D.C. 20231

Transmittal Letter

Enclosed for filing regarding the above-referenced International Application are the following:

- (X) Transmittal letter to U.S. Designated Office (DO/EO/US) concerning filing Under 35 U.S.C. 371;
- (X) Specification (pages 1-6); claims (page 7-8); abstract (page 9)
- (X) Formal Drawings FIGS. 1-4 (3 sheets);
- (X) Copy of the International Search Report with references;
- (X) Declaration signed by inventors;
- (X) Signed Power of Attorney by Assignee;
- (X) Assignment document for recording; with separate cover sheet; (\$40.00 fee included in enclosed check);
- (X) Applicant claims small entity status (see 37 CFR 1.27)

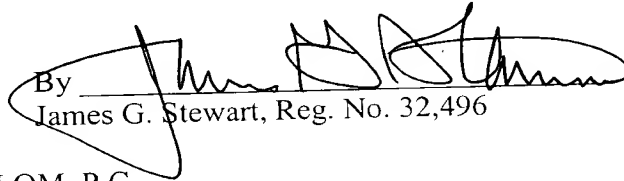
09/914306

JC03 Rec'd PCT/PTO 23 AUG 2001

- (X) PTO form 2038 authorizing credit card payment of \$580, which includes the filing fee of \$540 and the Assignment recordal fee of \$40.
- (X) Any deficiency or overpayment should be charged or credited to deposit account number 13-1703. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

MARGER JOHNSON & McCOLLOM, P.C.

By 
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